

#3 Section
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PTO/SB/21 (modified)


Approved for use through xx/xx/xx, OMB 0651-0031

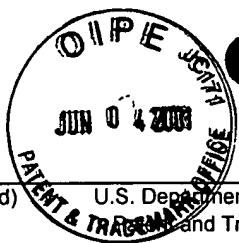
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PT/TRADEMA Rev. 10/95		U.S. Department of Commerce Patent and Trademark Office		Application Number 09/728,373			
TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>		Filing Date		November 28, 2000			
		First Named Inventor		Ting K. Yee			
		Group Art Unit Number		2633			
		Examiner Name		Unknown			
Total Number of Pages in This Submission		11		Attorney Docket Number		5169 US	

ENCLOSURES <i>(check all that apply)</i>	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <div style="padding-left: 20px;"><input checked="" type="checkbox"/> Check Enclosed</div> <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts <input type="checkbox"/> Assignment & Recordation Cover Sheet <input checked="" type="checkbox"/> Declaration <input checked="" type="checkbox"/> Power of Attorney (2) <input checked="" type="checkbox"/> Application Data Sheet <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <div style="padding-left: 20px;"><input type="checkbox"/> Copies of IDS Cited References</div> <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [] Page(s) <div style="padding-left: 20px;"><input type="checkbox"/> After Final</div> <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): <div style="padding-left: 40px;">[] Sheet(s) of Figure(s) []</div> <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group <div style="padding-left: 20px;"><i>(Appeal Notice, Brief, Reply Brief)</i></div> <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Michael W. Farn, Reg. No. 41,015	Dated:	May 31, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:		Michael W. Farn	Dated: May 31, 2001
Express Mail Mailing Number (optional):			



0002/PTO(modified)
Rev. 10/2000

U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$120)**

Complete if Known

Application Number	09/728,373
Filing Date	November 28, 2000
First Named Inventor	Ting K. Yee
Group Art Unit	2633
Examiner Name	Unknown
Attorney Docket Number	5169 US

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †
- ☐ Applicant claims small entity status
See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Other

FEE CALCULATION (fees effective 10/01/2000)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$710	201/\$355	Utility Filing	<input type="text"/>
106/\$320	206/\$160	Design Filing	<input type="text"/>
108/\$710	208/\$355	Reissue	<input type="text"/>
114/\$150	214/\$75	Provisional Filing	<input type="text"/>
SUBTOTAL (1)			(\$)-0-

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$80	202/\$40	Independent claims in excess of 3
104/\$270	204/\$135	Multiple dependent claim
109/\$80	209/\$40	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	65
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>
147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>
115/\$110	215/\$55	Extension for response within first month†	55
116/\$390	216/\$195	Extension for response within second month†	<input type="text"/>
117/\$890	217/\$445	Extension for response within third month†	<input type="text"/>
118/\$1,390	218/\$695	Extension for response within fourth month†	<input type="text"/>
128/\$1,890	228/\$945	Extension for response within fifth month†	<input type="text"/>
119/\$310	219/\$155	Notice of Appeal	<input type="text"/>
141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application	<input type="text"/>
142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)	<input type="text"/>
143/\$440	243/\$220	Design Issue Fee	<input type="text"/>
122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>
126/\$180	126/\$180	Submission of Information Disclosure Statement	<input type="text"/>
179/\$710	279/\$355	Request for Continued Examination (RCE)	<input type="text"/>
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>
146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>
149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>
Other fee (specify):			<input type="text"/>
Other fee (specify):			<input type="text"/>
SUBTOTAL (3)			(\$120)

(Col. 1)		(Col. 2)		(Col. 3)		Fee	Fee Due
For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**		
TOTAL			20 or 0	=		x	
INDEP			3 or 0	=		x	
[] First presentation of multiple dependent claim							

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) **(\$)-0-**

SUBMITTED BY

Typed or Printed Name **Michael W. Farn**

Signature

Complete (if applicable)

Reg. Number **41,015**

Date

May 31, 2001



PATENT

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Ting K. Yee and Peter H. Chang
APPLICATION NO.: 09/728,373
FILING DATE: November 28, 2000
TITLE: Optical communications using heterodyne detection
EXAMINER: Unknown
GROUP ART UNIT: 2633
ATTY. DKT. NO.: 5169 US

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: May 31, 2001

By: Michael W. Farn
Michael W. Farn, Reg. No. 41,015

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION**

SIR:

Responsive to Notice to File Missing Parts dated March 5, 2001 received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☒ an original, signed Power of Attorney for each inventor;
- ☒ an Application Data Sheet;
- ☒ payment in the amount of \$120 for the

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- ☐ application filing fee;
- ☐ fee for additional claims;
- ☒ missing parts surcharge; and
- ☒ fee for one month extension for response.

☐ Other

☒ Applicant claims small entity status under 37 C.F.R. § 1.27.

Respectfully submitted,
TING K. YEE AND PETER H. CHANG

Dated: May 31, 2001

By: Michael W. Farn
Michael W. Farn, Reg. No. 41,015
FENWICK & WEST LLP
Two Palo Alto Square
Palo Alto, CA 94306
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WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/728,373	11/28/2000	Ting K. Yee	5169 US

00758
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306

FORMALITIES LETTER



OC000000005828635

Date Mailed: 03/05/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

U. Robinson

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

RECEIVED 00000015 09728373

RECEIVED

65.00 00